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Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

<b>Attorney Docket No.</b>	11252-005
<b>First Inventor</b>	Adatia
<b>Title</b>	Automated Securities Trade Execution System and Method
<b>Express Mail Label No.</b>	EL100650692US

i1033 PTO 09/841388 04/24/01

<b>APPLICATION ELEMENTS</b>		<b>ADDRESS TO:</b>	
See MPEP chapter 600 concerning utility patent application contents.			
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <small>(Submit an original and a duplicate for fee processing)</small>		Assistant Commissioner for Patents Box Patent Application Washington, DC 20231	
2. <input type="checkbox"/> Applicant claims small entity status. <small>See 37 CFR 1.27.</small>			
3. <input checked="" type="checkbox"/> Specification [Total Pages 15] <small>(preferred arrangement set forth below)</small> <ul style="list-style-type: none"> <li>- Descriptive title of the invention</li> <li>- Cross Reference to Related Applications</li> <li>- Statement Regarding Fed sponsored R &amp; D</li> <li>- Reference to sequence listing, a table, or a computer program listing appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings (if filed)</li> <li>- Detailed Description</li> <li>- Claim(s)</li> <li>- Abstract of the Disclosure</li> </ul>			
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [ Total Sheets 7 ]			
5. Oath or Declaration [ Total Pages ]			
a. <input type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) <small>(for continuation/divisional with Box 18 completed)</small>			
i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> <small>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</small>			
6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76			
7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)			
8. Nucleotide and/or Amino Acid Sequence Submission <small>(if applicable, all necessary)</small>			
a. <input type="checkbox"/> Computer Readable Form (CRF)			
b. Specification Sequence Listing on: <ul style="list-style-type: none"> <li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li> <li>ii. <input type="checkbox"/> paper</li> </ul>			
c. <input type="checkbox"/> Statements verifying identity of above copies			
<b>ACCOMPANYING APPLICATION PARTS</b>			
9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))			
10. <input type="checkbox"/> 37 CFR 3.73(b) Statement		Power of Attorney <input checked="" type="checkbox"/>	
11. <input type="checkbox"/> English Translation Document (if applicable)			
12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449		Copies of IDS Citations <input type="checkbox"/>	
13. <input type="checkbox"/> Preliminary Amendment			
14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <small>(Should be specifically itemized)</small>			
15. <input type="checkbox"/> Certified Copy of Priority Document(s) <small>(if foreign priority is claimed)</small>			
16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.			
17. <input type="checkbox"/> Other: _____			

18. If a CONTINUATING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation     Divisional     Continuation-in-part (CIP)    of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

### 19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label	[REDACTED]			<input type="checkbox"/> Correspondence address below
Name	Steven J. Gelman			
Address	Klehr, Harrison, Harvey, Branzburg & Ellers LLP 260 South Broad Street			
City	Philadelphia	State	PA	Zip Code
Country	USA	Telephone	215-569-4085	Fax 215-568-6603
Name (Print/Type)	Steven J. Gelman	Registration No. (Attorney/Agent)	41,034	
Signature				Date 4/24/01

Burden Hour Statement: This form is estimated to take 02 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 710)

## Complete if Known

Application Number	
Filing Date	
First Named Inventor	Adatia
Examiner Name	
Group Art Unit	
Attorney Docket No.	11252-005

METHOD OF PAYMENT		FEE CALCULATION (continued)																																																																																																																																																																																																																														
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number <b>501-555</b></p> <p>Deposit Account Name <b>Klehr, Harrison</b></p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p>		<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee (\$)</th> <th colspan="3">Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for ex parte reexamination</td><td></td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td><td></td></tr> <tr><td>116</td><td>390</td><td>216</td><td>195</td><td>Extension for reply within second month</td><td></td><td></td></tr> <tr><td>117</td><td>890</td><td>217</td><td>445</td><td>Extension for reply within third month</td><td></td><td></td></tr> <tr><td>118</td><td>1,390</td><td>218</td><td>695</td><td>Extension for reply within fourth month</td><td></td><td></td></tr> <tr><td>128</td><td>1,890</td><td>228</td><td>945</td><td>Extension for reply within fifth month</td><td></td><td></td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Notice of Appeal</td><td></td><td></td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Filing a brief in support of an appeal</td><td></td><td></td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Request for oral hearing</td><td></td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - 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late filing fee or oath			127	50	227	25	Surcharge - late provisional filing fee or cover sheet			139	130	139	130	Non-English specification			147	2,520	147	2,520	For filing a request for ex parte reexamination			112	920*	112	920*	Requesting publication of SIR prior to Examiner action			113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action			115	110	215	55	Extension for reply within first month			116	390	216	195	Extension for reply within second month			117	890	217	445	Extension for reply within third month			118	1,390	218	695	Extension for reply within fourth month			128	1,890	228	945	Extension for reply within fifth month			119	310	219	155	Notice of Appeal			120	310	220	155	Filing a brief in support of an appeal			121	270	221	135	Request for oral hearing			138	1,510	138	1,510	Petition to institute a public use proceeding			140	110	240	55	Petition to revive - unavoidable			141	1,240	241	620	Petition to revive - unintentional			142	1,240	242	620	Utility issue fee (or reissue)			143	440	243	220	Design issue fee			144	600	244	300	Plant issue fee			122	130	122	130	Petitions to the Commissioner			123	50	123	50	Processing fee under 37 CFR 1.17(q)			126	180	126	180	Submission of Information Disclosure Stmt			581	40	581	40	Recording each patent assignment per property (times number of properties)			146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))			149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))			179	710	279	355	Request for Continued Examination (RCE)			169	900	169	900	Request for expedited examination of a design application			Other fee (specify) _____							*Reduced by Basic Filing Fee Paid						SUBTOTAL (3) (\$)
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WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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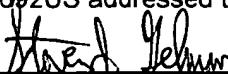
## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of: Asif Adatia

For: AUTOMATED SECURITIES TRADE EXECUTION SYSTEM AND METHOD

CERTIFICATION UNDER 37 CFR § 1.10

I hereby certify that this correspondence and the documents referred to as attached therein are being deposited with the U.S. Postal Service on April 24, 2001 in an envelope as "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 CFR § 1.10, Mailing Label Number EL100650692US addressed to the: Assistant Commissioner for Patents, Washington, DC 20231.

  
Steven J. Gelman

Box PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, DC 20231

PATENT APPLICATION TRANSMITTAL LETTER

Transmitted herewith for filing, please find the following:

**Type of Application:**

Utility (non-provisional)  
 Divisional  
 Continuation  
 Continuation-In-Part (CIP)

**Incorporation by Reference:**

The entire disclosure of the prior application, from which a copy of the Oath or Declaration is supplied, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein. (37 CFR § 1.63(d))

**Benefit of Prior U.S. Application(s) Claimed (37 CFR § 1.78):**

PLEASE ENTER THE FOLLOWING AMENDMENT TO THE SPECIFICATION UNDER THE CROSS REFERENCE TO RELATED APPLICATIONS SECTION:

This application claims the benefit of U.S. Provisional Application(s) No(s).  
60/\_\_\_\_\_, filed on \_\_\_\_\_.  
 This application is a [ ] continuation [ ] continuation-in-part [ ] divisional of copending U.S. Application Serial No(s). \_\_\_\_\_, filed on \_\_\_\_\_.  
 International Application No. \_\_\_\_\_ filed on \_\_\_\_\_ and which designated the U.S.

**Benefit of Prior Foreign Application(s):**

Priority is claimed under 35 U.S.C. § 119 of Application No. \_\_\_\_\_ filed on \_\_\_\_\_ in \_\_\_\_\_ [COUNTRY].

[ ] A Certified Copy of each of the following application(s) for which priority is claimed:

COUNTRY	APPLICATION NO.	FILING DATE

[ ] is enclosed.

[ ] has been filed in prior Application Serial No. 0\_ / \_\_\_\_\_, which was filed on \_\_\_\_\_.

**Application Elements Enclosed:**

[X] 12 Pages of Specification  
[X] 2 Pages of Claims  
[X] 7 Sheets of Drawings  
[ ] Formal  
[X ] Informal

[ ] Petition to Accept Photographs (37 CFR § 1.84(b)).

[X] 1 Page(s) of Abstract of the Disclosure

**Accompanying Application Parts:**

[ ] Associate Power of Attorney  
[ ] Preliminary Amendment  
[ ] Information Disclosure Statement  
[ ] Form PTO 1449 (PTO/SB/08A, 08B)  
[ ] Copies of Cited References  
[ ] Nucleotide and/or Amino Acid Sequence Submission (37 CFR §§ 1.821-1.825).  
[ ] Microfiche (Appendix) (37 CFR § 1.96(c)).  
[x] Return Receipt Postcard (itemized)

**Declaration or Oath and Power of Attorney:**

[ ] New (executed original or copy).  
[X] New (unexecuted).  
[ ] Copy from prior application (37 CFR § 1.63(d))

**Deletion of Inventor(s) (37 CFR § 1.63(d)(2), 1.33(b)):**

[ ] Signed Statement deleting inventor(s) named in the prior application is attached.

**Assignment:**

[ ] An executed Assignment of the invention to:

**Small Entity Statements:**

[ ] Statement(s) that this is a filing by a small entity under 37 §§ CFR 1.9 and 1.27 attached.  
[ ] Status as a small entity was claimed in prior U.S. Application Serial No. \_\_\_\_\_ filed on \_\_\_\_\_.

**Status is still proper and desirable.**

A copy of the statement in prior application is enclosed.

The filing fee has been calculated as shown below:

	NO. FILED	NO. EXTRA	SMALL ENTITY			OTHER THAN SMALL ENTITY	
			RATE	FEE	OR	RATE	FEE
BASIC FEE				\$355	OR		\$710
TOTAL CLAIMS	[13] - 20 =	0	x 9 =	\$	OR	x18 =	\$
INDEP. CLAIMS	[ 2 ] - 3 =	0	x40 =	\$	OR	x80 =	\$
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM(S)			+135 =	\$	OR	+270 =	\$
		<b>TOTAL</b>		\$355	OR		\$710

**Method of Payment of Fees:**

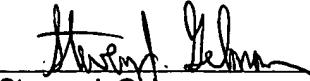
- No filing fee is to be paid at this time.
- Please charge my Deposit Account No. 501-555 the amount of \$\_\_\_\_\_. This transmittal is attached in duplicate.
- The filing fee of \$ 710 is enclosed. Please charge any deficiency or credit any overpayment to Deposit Account No. 501-555.

**Authorization to Charge Additional Fees:**

NOTE: if no fees are to be paid on filing, the following items should NOT be completed.

- The Commissioner is authorized to charge payment of the following fees and to refund any overpayment associated with this communication or during the pendency of this application to Deposit Account No. 501-555. **This sheet is provided in duplicate.**
- Filing fees (37 CFR § 1.16(a), (f) or (g)).
- Presentation of extra claims (37 CFR § 1.16(b), (c) and (d)).
- Surcharge for filing the basic filing fee and/or declaration later than the filing date of the application (37 CFR § 1.16(e)).
- 37 CFR §§ 1.17(a)(1)-(5) (Extension fees pursuant to 37 CFR § 1.136(a)).
- Application processing fees (37 CFR § 1.17).
- 37 CFR § 1.18 (Issue Fee at or before mailing of Notice of Allowance pursuant to 37 CFR 1.311(b)).

Date: April 24, 2001



Steven J. Gelman  
Registration No. 41,034

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Philadelphia, PA 19102-5003  
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